

RESOLUTIONS 1989-90 SESSION

Resolution No.	Date of Meeting	Title of Resolution	Action	Remarks and/or Committee Referral
89/1	9/15/89	A Resolution of Appreciation for Professor A. E. Claeysens	Adopted, 9/15/89	The following represent "Remarks by the Administration" 6/1/90: Received
89/2	10/13/89	A Resolution to Establish an Incentive for Voluntary Early Faculty Retirement	Adopted, as amended, 10/13/89	The administration is in the process of exploring models to accommodate requests for early retirement from individual faculty members
89/3	10/13/89	A Resolution to Establish a Special Committee on Northern Virginia Planning	Adopted, as amended, 10/13/89	Was superseded by Resolution 89/12
89/4	11/10/89	A Resolution to Amend Resolution 88/6 (To Establish English Language Requirements for Admission of International Students)	Adopted, 11/10/89	Accepted by administration and implemented by the Council of Deans
89/5	11/10/89	A Resolution to Establish a Special Committee on Utilization of Regular, Active-Status, Non-Tenure-Accruing Appointments	Adopted, as amended, 11/10/89	Committee has been constituted and is meeting
89/6	12/15/89	A Resolution to Endorse A University Policy on Conflict of Interest (Substitute)	Postponed, 12/15/89 to 1/19/90 adopted, as amended, 1/19/90	The administration accepts this and will move to implement
89/7	12/15/89	A Resolution Calling for an Incentive-Based Hierarchy of Priorities in the Allocation of Resources to Research	Adopted, as amended, 12/15/89	This task is now on the agenda of the new Advisory Council on Research

RESOLUTIONS 1989-90 SESSION

Resolution No.	Date of Meeting	Title of Resolution	Action	Remarks and/or Committee Referral
				("Remarks by Administration" cont'd)
89/8	12/15/89	A Resolution in Support of the Need for Teaching Load Reductions to Ensure the Growth of Sponsored Research at The George Washington University (Substitute) (Second substitute)	Recommitted, 12/15/89, deferred, 4/13/90 to 5/4/90 Adopted, as amended 5/4/90	At my request, Professors Garriss and Coates are starting to work on this during the summer
89/9	12/15/89	A Resolution Concerning the Faculty's Role in Decision-Making in the Area of Research	Postponed, 12/15/89, to 1/19/90, adopted, as amended, 1/19/90	The Chair of the Senate Committee on Research is an <u>ex officio</u> member of the Advisory Council on Research; this should institutionalize consultation and, thus, resolve your concern
89/10	12/15/90	A Resolution for Renewal of Commitment Against Bigotry and Intolerance	Adopted, 12/15/89	Received
89/11	3/9/90	A Resolution Concerning Part-Time Faculty Salaries	Adopted, as amended, 3/9/90	This matter is under study; see Vice President French's discussion of the problem in the presentation to this year's Budget Advisory Team
89/12	4/13/90	A Resolution to Create a Senate Special Committee on the Northern, Virginia Campus (Substitute)	Adopted, as amended 4/13/90	Received; the administration is pleased to have a standing committee to work with on this project
89/13	4/13/90	A Resolution on Recruitment and Appointment Reporting	Adopted, 4/13/90	Accepted by the administration; report to be presented in the fall
89/14	4/13/90	A Resolution to Recommend Renaming the Faculty Senate Committee on University Development and Resources	Adopted, as amended, 4/13/90	Received

RESOLUTIONS 1989-90 SESSION

Resolution No.	Date of Meeting	Title of Resolution	Action	Remarks and/or Committee Referral
				("Remarks by Administration" cont'd)
89/15	4/13/90	A Resolution to Protect the Present Educational Benefits of Current Faculty and Staff Employees	Adopted, 4/13/90	Accepted by the administration
89/16	4/13/90	A Resolution Concerning Faculty Support for the Tuition Waiver Educational Benefits	Adopted, 4/13/90	Received
89/17	4/13/90	A Resolution Concerning Faculty Opposition to Graduated Dependents' Tuition Waiver Benefits for Future Faculty and Staff	Adopted, 4/13/90	The administration demurs
89/18	4/13/90	A Resolution of Commendation for the Fringe Benefits Committee and an Offer of Greater Faculty Assistance in the Committee's Work	Adopted, 4/13/90.	Received



THE PRESIDENT

TO: William Griffith
FROM: Stephen J. Trachtenberg
SUBJECT: Resolutions
DATE: June 1, 1990

Bill: Does the enclosed do it for you?

A handwritten signature, likely "Steve", written in dark ink over a horizontal line.

SJT/hdi
Enclosure

RESOLUTIONS 19-90 SESSION

RESOLUTION NO.	TITLE OF RESOLUTION	REMARKS BY ADMINISTRATION
89/1	A Resolution of Appreciation for Professor A.E. Claeysens	Received
89/2	A Resolution to Establish an Incentive for Voluntary Early Faculty Retirement	The administration is in the process of exploring models to accommodate requests for early retirement from individual faculty members
89/3	A Resolution to Establish a Special Committee on Northern Virginia Planning	Was superseded by Resolution 89/12
89/4	A Resolution to Amend Resolution 88/6 (To Establish English Language Requirements for Admission of International Students)	Accepted by administration and implemented by the Council of Deans
89/5	A Resolution to Establish a Special Committee on Utilization of Regular, Active-Status, Non-Tenure-Accruing Appointments	Committee has been constituted and is meeting
89/6	A Resolution to Endorse A University Policy on Conflict of Interest (Substitute)	The administration accepts this and will move to implement
89/7	A Resolution Calling for an Incentive-Based Hierarchy of Priorities in the Allocation of Resources to Research	This task is now on the agenda of the new Advisory Council on Research
89/8	A Resolution in Support of the Need for Teaching Load Reductions to Ensure the Growth of Sponsored Research at The George Washington University (Substitute) (Second Substitute)	At my request, Professors Garriss and Coates are starting to work on this during the summer
89/9	A Resolution Concerning the Faculty's Role in Decision-Making in the Area of Research	The Chair of the Senate Committee on Research is an ex-officio member of the Advisory Council on Research; this should institutionalize consultation and, thus, resolve your concern
89/10	A Resolution for Renewal of Commitment Against Bigotry and Intolerance	Received

RESOLUTION NO.	TITLE OF RESOLUTION	REMARKS BY ADMINISTRATION
89/11	A Resolution Concerning Part-Time Faculty Salaries	This matter is under study; see Vice President French's discussion of the problem in the presentation to this year's Budget Advisory Team
89/12	A Resolution to Create a Senate Special Committee on the Northern Virginia Campus (Substitute)	Received; the administration is pleased to have a standing committee to work with on this project
89/13	A Resolution on Recruitment and Appointment Reporting	Accepted by the administration; report to be presented in the fall
89/14	A Resolution to Recommend Renaming the Faculty Senate Committee on University Development and Resources	Received
89/15	A Resolution to Protect the Present Educational Benefits of Current Faculty and Staff Employees	Accepted by the administration
89/16	A Resolution Concerning Faculty Support for the Tuition Waiver Educational Benefits	Received
89/17	A Resolution Concerning Faculty Opposition to Graduated Dependents' Tuition Waiver Benefits for Future Faculty and Staff	The administration demurs
89/18	A Resolution of Commendation for the Fringe Benefits Committee and an Offer of Greater Faculty Assistance in the Committee's Work	Received

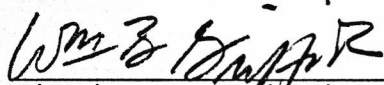
A RESOLUTION OF APPRECIATION (89/1)

WHEREAS, Professor Astere E. Claeysens has served selflessly and with distinction as Editor-In-Chief of the GW FORUM and member of the Editorial Board for twenty consecutive years; and

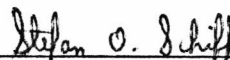
WHEREAS, his outstanding leadership has provided the entire University Community with a publication of exceptional merit; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

That the deep appreciation of the Faculty Senate be extended to Professor Claeysens for his dedicated and valuable service.



William B. Griffith, Chair
Executive Committee
of the Faculty Senate



Stefan O. Schiff, Chair
Educational and Admissions
Policy Committee

September 15, 1989

Adopted September 15, 1989

A RESOLUTION TO ESTABLISH AN INCENTIVE PROGRAM
FOR VOLUNTARY EARLY FACULTY RETIREMENT (89/2)

WHEREAS, there have been numerous requests from the faculty for a program to facilitate early retirement; and

WHEREAS, the administration has noted the skewed distribution of faculty ranks towards full professor; and

WHEREAS, there is a substantial likelihood of the removal of the requirement for faculty to retire at age 70; and

WHEREAS, the University recognizes the value of providing for junior faculty appointments; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY:

- (1) That the University provide a plan creating incentives for voluntary early retirement for faculty, including supplemental retirement income and continuing health and related benefits; this plan should be developed to be approximately revenue neutral; and
- (2) That the model plan attached, having been developed by the Appointment, Salary and Promotion Policies Committee over a two-year period in consultation with top University administrators, is ^{now} recommended ~~for approval~~ to the President for consideration and response.

Committee on Appointment, Salary
and Promotion Policies (including Fringe Benefits)
September 22, 1989

Adopted, as amended, October 13, 1989

The George Washington University
Voluntary Early Retirement Program
for Tenured Faculty

September 22, 1989

Retirement Policy

The goal of George Washington University's pension policy is to provide long-service employees with retirement income through TIAA/CREF annuities and social security benefits, sufficient to maintain a standard of living close to that of the years just prior to retirement. An individual's actual retirement income depends on the total amount contributed to TIAA/CREF and social security over his/her working life.

In recent years, faculty members have indicated an increased interest in retiring early. The University has designed an early retirement program that may make earlier retirement attractive and feasible for many faculty members. This program is voluntary. However, once a faculty member has elected to retire under the program, the election is irrevocable.

The Program

The Voluntary Early Retirement Program is a plan that provides a participating faculty member with income in addition to TIAA/CREF and social security. Depending on the age at which a faculty member elects early retirement, the program offers up to five years of annual payments and benefits. To start receiving benefits under this program, a faculty member must be at least age 62 before September 1 of the year in which retirement benefits shall commence. Payments from the Voluntary Early Retirement Program can be started at a time when social security benefits are available.

Eligibility for Participation

To be eligible to participate in the Voluntary Early Retirement Program, a faculty member must:

- a) attain the age of 62 by June 30 of the year in which retirement benefits shall commence;
- b) be tenured and continue to perform contractual duties through June 30 of the calendar year of retirement;
- c) have at least 15 years of full-time service at the University; and
- d) neither be receiving nor have grounds for claiming long-term total disability payments through the University insurance program.

Review of Financial Provisions

The faculty member is strongly encouraged to review the financial provisions and implications of early retirement with a counselor in the Office of Records and Benefits.

How Payments are Calculated

A faculty member who elects early retirement will receive for a specified period a percentage (see below) of his/her "pre-retirement salary" plus an annual percentage adjustment that will be calculated on the basis of the average percentage salary increase for faculty members, or the annual cost of living, whichever is less. These adjustments will be cumulative during the specified period. The "pre-retirement salary" is defined as the academic year full-time salary during the academic year preceding retirement. Retirements are effective as of June 30.

Payments will be made in twelve monthly installments starting in July; retirees will be informed of the yearly increase by the Office of Records and Benefits. To the extent required by law, the University will withhold income and FICA taxes and any other monies required by federal or state law. Payments cease at the end of the year in which the faculty member attains age 68 (or age 67 for those faculty members who retired at age 62). In the event of death, payments shall continue for that month in which the retiree's death occurs and one additional month.

The following chart indicates the percentage paid and the number of years that a faculty member is eligible for early retirement benefits:

<u>Age at Beginning of Academic Year</u>	<u>Percentage of Base Salary</u>	<u>Number of Years of Early Retirement Benefits</u>
62	45	5
63	40	5
64	40	4
65	40	3
66	35	2
67	30	1

Fringe Benefits

The following additional benefits will be provided during the period of early retirement:

- a) Continuation of the University's contribution to health insurance premiums for a faculty member and spouse and dependent children (if any) through the year in which the faculty member attains age 68. In the event of the death of the faculty member, the spouse will have the option of remaining on the group health insurance plan until eligible for Medicare. The spouse must assume full cost of the premiums.*

*If the University changes its basic health insurance benefits, item a) will be revised accordingly.

- b) Life insurance will continue during the period of early retirement under the terms of the TIAA Group Insurance contract.*

Upon retirement at age 70, the basic coverage is decreased automatically to \$2,500 which will be continued for the faculty member's lifetime. When retirement occurs prior to age 70, the basic coverage is decreased by 20% on the date of retirement. On each anniversary of the first reduction a further reduction, equal to the first, shall be made until the basic coverage is reduced to \$2,500 or until age 70, at which time all remaining coverage is reduced to \$2,500. The optional coverage ceases at retirement. Retiring faculty wishing to convert the full amount of insurance should consult the carrier.

- c) The University will continue the educational assistance benefit for children and dependents as if the faculty member had not retired.

Rights of an Early Retiree

The rights and privileges of a faculty member taking early retirement are the same as the rights and privileges of a retired faculty member.

Implementation Procedures

A faculty member who wishes to participate in this program must submit the written application through department chairperson and appropriate dean to the Vice President for Academic Affairs by October 1 of the anticipated last year of employment. In addition, the faculty member should request financial and benefit information from the Office of Records and Benefits and/or seek other financial counseling.

The final agreement must be signed by the faculty member before February 1 of the anticipated last year of employment. However, this Agreement cannot be executed earlier than one year before benefits are to begin. The election, evidenced by an executed final agreement, is irrevocable.

Employment at Other Colleges and Universities

The Voluntary Early Retirement Program is designed to assist faculty members who wish to retire. While the University makes no prohibition concerning other employment during the period the individual is receiving early retirement payments, full-time employment at another college or university during this period would violate the spirit of the early retirement plan.

*If the University changes its basic life insurance benefits, item b) will be revised accordingly.

Partial Retirement

Full-time members of the faculty who qualify under the provisions of Section VII.D. of the Faculty Code may retire partially by reducing their service to the University to either a two-thirds or a half-time basis. Either basis will, in general, include teaching, research, and other services proportionate to that considered normal for a full-time faculty member in the relevant department, school, college or other division of the University. Any determination of programmatic needs as required by Section VII.D. of the Code and any combination of effort proposed by a faculty member must be approved by the department chair, the cognizant dean, and the Vice President for Academic Affairs.

The faculty member's salary shall be two-thirds or one-half of the normal full-time salary, and eligibility for annual salary increase shall continue.

Once a faculty member has elected to retire partially, he/she may not increase the level of service thereafter. Correspondingly, the faculty member's salary and fringe benefits may not be reduced. The faculty member may elect to retire fully at any appropriate time.

The voluntary early retirement program cannot be elected at the same time as partial retirement; early retirement can, however, follow a period of partial retirement.

Provision for Modification and Review

This plan will be in effect until 1996 unless the Board of Trustees modifies or withdraws it at any time prior to August 31, 1996. A faculty member who has already retired under the plan or has signed the Early Retirement Agreement will not be adversely affected by such modification or withdrawal.

Replacements

The question of the replacement or non-replacement of any faculty position made ^{VACANT} recent by the election of early retirement will be determined by the appropriate dean and the Vice President for Academic Affairs.

A RESOLUTION TO ESTABLISH A SPECIAL COMMITTEE
ON NORTHERN VIRGINIA PLANNING (89/3)

WHEREAS, The "Report on Strategic Planning for the Northern Virginia Campus" was forwarded to the Faculty Senate Executive Committee on August 16, 1989, by Vice President French for its information; and

WHEREAS, Vice President French informs us that this plan report has been accepted by the administration as a working document which will now be implemented by in consultation with the deans; and

WHEREAS, the broad-gauged plan proposed therein has important implications for the University's future development, which cut across the areas of responsibilities of several of the Senate's standing committees, making difficult its referral to any one committee to assist in formulating the Senate's response to this plan; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY:

- (1) That a Special Committee of the Faculty Senate be and hereby is established to consider the Report named above, to inquire into subsequent developments or projected changes, and to provide to the Senate an initial report and any recommendations as to resolutions by its February 9, 1990, meeting; and
- (2) That the chair and membership of this Committee shall be designated as follows: (i) the chairs of the Senate standing committees on Educational and Admissions Policy, Fiscal Planning and Budgeting, Physical Facilities, and Research, together with such additional members of the faculty as those chairs may collectively invite to join their deliberations, plus one faculty representative each from the School of Education and Human Development, the School of Engineering and Applied Science, and the School of Government and Business Administration, to be selected by the deans of those schools, shall constitute the membership of the Committee; (ii) the Vice President for Academic Affairs and Vice President and Treasurer are requested to serve ex officio; (iii) a member of the Executive Committee shall be designated by that body to convene the Committee initially and coordinate its work.

(underlining indicates amendments)

Executive Committee of the Faculty Senate
September 29, 1989

Adopted, as amended, October 13, 1989

A RESOLUTION TO AMEND RESOLUTION 88/6 (TO ESTABLISH ENGLISH LANGUAGE REQUIREMENTS FOR ADMISSION OF INTERNATIONAL STUDENTS) (89/4)

WHEREAS, Resolution 88/6 was adopted by the Faculty Senate on March 10, 1989, and accepted by the President on behalf of the administration on April 3, 1989; and

WHEREAS, Paragraph 2 of that Resolution refers to "countries where English is not the native language"; and

WHEREAS, there are a number of countries in which English is not the native language, but in which English is nevertheless an "official" language; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

That the second resolving clause of Resolution 88/6 be amended by substituting the words "an official" for the words "the native" in line 4 as shown below:

"2. That a placement test be administered by the Office of English for International Students to all international students from countries where English is not ~~the native~~ an official language except those who (a) score 600 or more on TOEFL, and (b) score 5 out of 6 on the Test of Written English (TWE)."

Educational and Admissions Policy Committee
October 20, 1989

Adopted November 10, 1989

(Distributed at March 10, 1989, Faculty Senate Meeting)

CORRECTED COPY

A RESOLUTION TO ESTABLISH ENGLISH LANGUAGE REQUIREMENTS
FOR ADMISSION OF INTERNATIONAL STUDENTS (88/6)

WHEREAS, at the present time no University-wide English language requirements exist for students who come from countries where English is not the native language; and

WHEREAS, a University-wide policy pertaining to English language requirements for such students should be clearly indicated; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

1. That a TOEFL score of 550 be regarded as a recommended minimum for admission;
2. That a placement test be administered by the Office of English for International Students to all international students from countries where English is not ~~the native~~ ^{an official} language except those who (a) score 600 or more on TOEFL, and (b) score 5 out of 6 on the Test of Written English (TWE);
3. That students who do not meet the above standards be required to take the appropriate level course (or courses) recommended by EIS;
4. That students placing in EFL 15, 20, and 30 may not take any additional courses; those placing in EFL 40 may take one additional course if ~~recommended by EIS~~ and approved by the student's program advisor; and
5. That the above requirements will apply to undergraduate and graduate students, including those admitted by transfer from other institutions, beginning Fall, 1989.

Amended by
Res. 89/4
11/10/89

February 7, 1989
Educational and Admissions Policy Committee

Adopted, as amended, March 10, 1989

A RESOLUTION TO ESTABLISH A SPECIAL COMMITTEE ON UTILIZATION OF
REGULAR, ACTIVE-STATUS NON-TENURE-ACCRUING APPOINTMENTS (89/5)

WHEREAS, the University has over the past two decades, with the concurrence of the Faculty Senate, made a substantial number of regular active-status faculty appointments in non-tenure-accruing status, with the result that in some portion of these cases faculty with equivalent credentials and responsibilities hold significantly different faculty-status over long intervals; and

WHEREAS, in the coming decade the University's interest in hiring and retaining highly-qualified faculty in the face of a shortage of supply relative to demand may be incompatible with such broad use of non-tenure-accruing appointments, while the original aim of maintaining an adequate margin of flexibility for shifting resources may now be available through other means; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

(1) That a Special Committee be and ~~hereby is established to meet jointly with a parallel committee to be appointed by the Vice President for Academic Affairs,~~ and charged as follows:

(a) To examine recent practices and policies adopted in the various schools of the University for utilizing regular active-status non-tenure-accruing appointments; and

(b) To determine whether, if limited-term, indefinitely renewable contracts for full-time faculty are to continue, new classifications, characterizations, and/or conditions on such appointments are needed; and

~~(c) To consider whether, in the light of changing conditions bearing on tenure-accruing faculty appointments now and probable in the next decade, the University should consider lengthening the probationary period before conferral of tenure must be considered, in lieu of making non-tenure-accruing appointments initially and then converting the positions to tenure-accruing with new national searches for the restructured positions; and~~

- (2) ~~That the Special Committee shall be made up of five tenured faculty members, each from a different school, to be nominated by the Executive Committee for election by the Senate; the Executive Committee shall designate one member to convene the first meeting at which the Committee shall elect its own chair from among its members; the chair of the Special Committee shall share responsibility with the chair of the parallel Vice President's committee for arranging joint meetings of the two committees to carry out their respective charges; and~~

That the membership of this Special Committee shall be established as follows: half the members shall be appointed by the Chairman of the Executive Committee of the Faculty Senate, and half shall be appointed by the Vice President for Academic Affairs; all members shall hold faculty rank; and an additional member to serve as Chairman of the Special Committee shall be jointly appointed by the Chairman of the Executive Committee and the Vice President for Academic Affairs; and

- (3) The Special Committee established herein shall report to both the Faculty Senate and the Vice President for Academic Affairs as to the conclusions of its joint deliberations, and shall offer such recommendations as a majority of the Special Committee considers appropriate, ~~whether or not concurred in by the Vice President's parallel committee;~~ at least a preliminary report, and preferably a final report, shall be made to both the Senate and the Vice President for Academic Affairs no later than the last meeting of this term, April 13, 1990.

(underlining indicates new language)

Executive Committee of the Faculty Senate
October 27, 1989

Adopted, as amended, November 10, 1989

SUBSTITUTE RESOLUTION

A RESOLUTION TO ENDORSE A UNIVERSITY POLICY ON CONFLICT OF INTEREST
(89/6)

WHEREAS, it is in the best interest of the George Washington University to have a policy on conflict of interest; and

WHEREAS, there is, at present, no explicit statement regarding conflict of interest in the Faculty Handbook; and

WHEREAS, potential problems of conflict of interest are arising with increasing frequency at universities; and

WHEREAS, it is desirable for both the faculty and the University to avoid, whenever possible, such problems before they occur; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

(underlining indicates amendments)

- I. That the Senate endorses the attached policy statement on conflict of interest; and
- II. That the Senate further recommends that , upon adoption by the University, language reflecting this policy be printed in the Faculty Handbook or that this policy be printed as a separate Conflict of Interest pamphlet for periodic distribution to the faculty; and
- III. That the President direct each school, college, or comparable educational division to establish and report to the Vice President for Academic Affairs for his approval, within one year's time, procedures (to include peer review) for implementing this policy in a manner appropriate to each of those units.

Professional Ethics and Academic Freedom
November 13, 1989

Postponed, December 15, 1989, for further consideration and final action to January 19, 1990, Senate meeting.

Adopted, as amended, January 19, 1990

A POLICY ON CONFLICT OF INTEREST

Conflicts of interest are a universal fact of life; they occur when the fulfillment of an obligation, commitment, or responsibility makes it difficult or impossible to fulfill other obligations, commitments, or responsibilities. They obviously may differ in extent or degree. The goal of any institution cannot be to eliminate all conflicts of interest. Rather it should be to establish boundaries within which conflicts of interest are tolerable and beyond which they are intolerable.

A cornerstone for understanding must include the principle that "...faculty shall have a primary responsibility of devoting their time, thought, and energy to service of the University" [FC III F]. At the same time and of no less importance is a faculty member's responsibility to further his/her own professional development and the goals of his/her professional discipline. Under normal circumstances a faculty member's participation in the activities of governmental, industrial, and professional institutions is consistent with the academic interests of the University as well as those of the faculty member.

The activities of the faculty shall be conducted in a manner that avoids conflicts of interest. There are at least four types of conflicts of interest that may require review; these occur when:

- 1) the University is deprived of the appropriate (compensated) time and effort of the faculty member due to external commitments;
- 2) substantial use is made of human and material resources of the University for non-University purposes;
- 3) the faculty member's extra-university activities affect his/her objectivity in carrying out academic responsibilities, or compromise basic scholarly activity or freedom of action; and
- 4) the University is deprived of its appropriate potential financial gain.

Examples of the various types of conflicts of interest noted above include the following:

1. Conflicts of interest that may arise from time/effort considerations:

- a) exceeding the equivalent of the "one day a week" rule allowed by the Faculty Handbook;
- b) accepting obligations that regularly conflict with

scheduled classes or other academic responsibilities.

2. Conflicts of interest that may involve misallocation of University resources:

- a) using University equipment, supplies, personnel, and other facilities and resources for activities that yield financial benefit to the faculty member and not the University;
- b) when outside financial incentives distort scholarly activity or the shaping of academic goals.

3. Conflicts of interest that may arise and may impair objectivity:

- a) receiving support from an institution in which the faculty member or a close friend or relative has a substantial financial interest;
- b) hiring of a family member or of a student enrolled in his/her course;
- c) entering into an agreement that precludes normal scholarly publication or public discussion;
- d) when a faculty member has a relationship (as, e.g., consultant, advisor, owner, or shareholder) to an outside organization that is conducting business with the University.

4. Conflicts of interest that may arise from the University's loss of appropriate financial benefits:

- a) when a faculty member seeks to obtain research support in a manner that substantially undermines the responsibilities of the Office of Sponsored Research;
- b) whenever an outside commitment provides to an individual or organization other than the university for intellectual or tangible property rights in the way of patent ownership or licensing that ought to accrue to the University.

Although the examples given above describe conflicts a faculty member may voluntarily face, consideration needs to be given to conflicts that may arise from pressures of the University. Two examples are:

- a) A faculty member who has summer research support might inadvertently be asked to devote substantial time to non research activities (e.g. curriculum revision) and still be expected to sign a declaration (e.g., a government form) that 100% of his/her time was spent on the research project.
- b) In its effort to increase the financial well being of the institution, the University might encourage the pursuit of activities that will generate

income from contracts at the expense of freely chosen disinterested research and scholarship.

Because these boundaries are fated to be somewhat arbitrary and vague, it seems prudent to establish an approach that has two essential elements:

(1) utilizing normal channels, faculty are encouraged to report and to seek guidance concerning significant potential conflicts of interest in order to ensure that the interests of the faculty member, his/her profession, and the University are best served; and

(2) recognizing that each school, college, or other unit has shared and unshared areas where conflicts may occur, each unit should devise an appropriate mechanism to review and to resolve any lack of agreement arising from the disclosure of potential or actual conflicts of interest.

Professional Ethics and Academic Freedom Committee
November 13, 1989

A RESOLUTION CALLING FOR AN INCENTIVE-BASED HIERARCHY OF PRIORITIES
IN THE ALLOCATION OF RESOURCES TO RESEARCH (89/7) *with Report*

- WHEREAS, Increased expenditures are essential if research is to flourish at The George Washington University; and
- WHEREAS, The administration has recognized the importance of an increased investment in research as recommended by the Budget Advisory Team Report for 1990-91; and
- WHEREAS, There is an abundance of faculty who have the potential for developing quality research programs, but whose research abilities remain dormant as a result of a multitude of disincentives; and
- WHEREAS, An opportunity exists for unleashing this dormant resource by creating an infrastructure of incentives for research; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

1. That the administration should be applauded for its recognition of the need to allocate increased funding in support of research; and
2. That the administration, in collaboration with the faculties, should develop a hierarchy of priorities for the allocation of University resources towards strengthening research; and
3. That the fundamental principle in establishing the hierarchy of priorities is the need for incentives for the faculty-at-large.

Senate Committee on Research
November 21, 1989

Adopted, as amended, December 15, 1989

A SUBSTITUTE RESOLUTION IN SUPPORT OF THE NEED FOR TEACHING LOAD REDUCTIONS TO INSURE THE GROWTH OF RESEARCH AT GEORGE WASHINGTON UNIVERSITY (89/8)

- WHEREAS, In the Report of the Commission on the Year 2000, the Report for the Middlestates Association, the Budget Advisory Team Report for 1990-91 as well as statements by President Trachtenberg and other administrators, recommendations have been made for the faculty of the George Washington University to increase their participation in research; and,
- WHEREAS, The faculty has shown through publications, applications to the University Committee on Research, and through the submission of proposals for sponsored research funds that there exists a high interest in conducting research; and,
- WHEREAS, The faculty of the university has the scholarly potential to increase this effort substantially if existing obstacles were removed and the proper incentives were in place; and,
- WHEREAS, The United States government considers the education and training of skilled researchers essential for the future of the country and therefore dedicates billions of dollars in support of university research; and,
- WHEREAS, In the year 1988, sponsored research programs generated more than \$33 million for the university and provided support for many graduate students, enabled the permanent acquisition of laboratory equipment and computational facilities, supported the library, increased the stature of the university, and provided many other benefits; and,
- WHEREAS, Faculty participation in research requires large investments of time and effort for performing research and graduate student supervision. For sponsored research, additional time is needed for proposal preparation, student recruiting, report writing, financial management, in addition to performing research; and,
- WHEREAS, Virtually all fine research institutions recognize that the greatest deterrent to excellent teaching and research is an excessive faculty work load and therefore reduce teaching loads to enable faculty to dedicate the time needed for excellence in both activities; therefore,

Substitute Resolution 89/8 (cont'd)

Page 2

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

1. That the number one priority in advancing the goals of increasing research and promoting excellence in teaching is the reduction of teaching loads for those faculty pursuing research; and
2. In order to make research proposals more competitive and to serve as an incentive to faculty to seek sponsored research, the University administration should establish a regular relation between cost sharing in the form of academic course release and overhead generated in the project; and
3. For regular tenured or tenure-track faculty/^{productively}involved in non-sponsored research, or those who have a history of support from sponsored research, or those who are newly hired with the expectation that they will perform research, the Office of the Vice President for Academic Affairs in consultation with the Senate Committee on Research shall establish within one year of the date of this resolution a plan, with clear eligibility guidelines, leading to reduced teaching loads.

Senate Committee on Research
April 30, 1990

Adopted, as amended, May 4, 1990

A SUBSTITUTE RESOLUTION IN SUPPORT OF THE NEED FOR TEACHING LOAD
REDUCTIONS TO ENSURE THE GROWTH OF RESEARCH AT THE GEORGE
WASHINGTON UNIVERSITY (89/8) *see second substitute*

- WHEREAS, In the Report of the Commission on the Year 2000, the Report for the Middlestates Association, the Budget Advisory Team Report for 1990-91, as well as statements by President Trachtenberg and other administrators, recommendations have been made for the faculty of The George Washington University to increase its participation in research; and
- WHEREAS, The faculty has shown through publications, applications to the University Committee on Research, and through the submission of proposals for sponsored research funds that there exists a high interest in conducting research; and
- WHEREAS, The faculty of the University has the scholarly potential to increase this effort substantially if existing obstacles were removed and the proper incentives were in place; and
- WHEREAS, The United States Government considers the education and training of skilled researchers essential for the future of the country and therefore dedicates billions of dollars in support of university research; and
- WHEREAS, In the year 1988, sponsored research programs generated more than \$33 million for the University and provided support for many graduate students, enabled the permanent acquisition of laboratory equipment and computational facilities, supported the library, increased the stature of the University, and provided many other benefits; and
- WHEREAS, Faculty participation in research requires large investments of time and effort for performing research and graduate student supervision; for sponsored research, additional time is needed for proposal preparation, student recruiting, report writing, financial management, in addition to performing research; and
- WHEREAS, Virtually all fine research institutions recognize that the greatest deterrent to excellent teaching and research is an excessive faculty workload and therefore reduce teaching loads to enable faculty to dedicate the time needed for excellence in both activities; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

1. That the number one priority in advancing the goal of increasing research while maintaining excellence in teaching is the reduction of teaching loads for those faculty pursuing research; and

2. That the Office of the Vice President for Academic Affairs should establish a plan leading to reduced teaching loads for research-active faculty as soon as possible; and
3. That the following shall be established as target teaching-load guidelines for research-active faculty:
 - (a) For faculty who have a history of support from sponsored research or who are newly-hired with the expectation that they will conduct sponsored research, the basic teaching load shall not exceed four courses per year; the funds to support faculty salaries should be paid from indirect cost recovered from sponsored research in accordance with current practices at research institutions; and
 - (b) For faculty involved in non-sponsored research:
 - i. Supervision of three doctoral dissertations or six M.S. theses, or equivalent combinations, should entitle a faculty member to one course release per year; and
 - ii. Two publications, as a major author, in respected refereed journals should entitle a faculty member to one course release; and
 - iii. One book should entitle a faculty member to one course release; and

It is not intended that these course releases should necessarily be cumulative and considerable discretion should be left to deans and department chairs to determine the appropriateness of these guidelines for particular programs; it is understood that the ability of the University to support such course release for non-sponsored research projects might require the generation of new endowment and the use of various techniques to manage the curricula, and such measures should be vigorously pursued.

Committee on Research
March 8, 1990

April 13, 1990, deferred to May 4, 1990, Senate meeting

A RESOLUTION IN SUPPORT OF THE NEED FOR TEACHING LOAD REDUCTIONS
TO ENSURE THE GROWTH OF SPONSORED RESEARCH AT THE GEORGE WASHINGTON
UNIVERSITY (89/8) *with Report* *see substitute resolution 89/8*

- WHEREAS, The United States Government considers the education and training of skilled researchers essential for the future of the country and therefore dedicates billions of dollars in support of university research; and
- WHEREAS, In the Report of the Commission on the Year 2000, the Report for the Middlestates Association, the Budget Advisory Team Report for 1990-91, as well as statements by President Trachtenberg and other administrators, recommendations have been made for The George Washington University to increase its participation in sponsored research; and
- WHEREAS, In the year 1988, sponsored research programs generated more than \$33 million for the University and provided support for many graduate students, enabled the permanent acquisition of laboratory equipment and computational facilities, supported the library, increased the stature of the University, and provided many other benefits; and
- WHEREAS, The faculty of the University has the scholarly potential to increase this effort substantially if existing obstacles were removed and the proper incentives were in place; and
- WHEREAS, Faculty participation in sponsored research requires large investments of time and effort in proposal preparation, student recruiting, report writing, graduate student supervision, and financial management, in addition to performing research; and
- WHEREAS, Virtually all fine research institutions recognize that the greatest deterrent to excellent teaching and research is an excessive faculty workload and therefore reduce teaching loads to enable faculty to dedicate the time needed for excellence in both activities; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

1. That the number one priority in advancing the goal of increasing sponsored research while maintaining excellence in teaching is the reduction of teaching loads for those faculty pursuing sponsored research; and
2. That the Office of the Vice President for Academic Affairs should establish a plan, in consultation with the Senate Committee on Research, leading to this goal in the shortest possible time.

The Senate Committee on Research
October 30, 1989

Recommitted, 12/15/89

A RESOLUTION CONCERNING ~~PROTESTING THE EVASION OF THE FACULTY'S~~
ROLE IN DECISION-MAKING IN THE AREA OF RESEARCH (89/9) *with report*

WHEREAS, The regular active-status faculty shares with the officers of the administration the responsibility for effective operation of the departments, schools, and the University as a whole; and

WHEREAS, The regular active-status faculty also participates in the formulation of policy and planning decisions affecting the quality of education and life at the University; and

WHEREAS, In accordance with Article IX of the Faculty Code, the Senate Committee on Research is entitled, to the extent feasible, to be informed sufficiently in advance of important decisions which have impact on research so as to be able to provide its advice and recommendations; and

~~WHEREAS, The recommendations of policy in the Report "Strategies for Research: Toward Growth and Competitiveness" by A. Coates and C. Lange were adopted without any consultation with the Senate Committee on Research; and~~

~~WHEREAS, The administration embarked on negotiations with the federal government to increase the indirect cost rate on sponsored research projects from 48% to 52%, an action that has strong repercussions on the ability of faculty to perform and to obtain sponsored research, without consultation with the Senate Committee on Research; NOW, THEREFORE~~

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

- ~~1. That the administration's disregard for the necessity of consultation with appropriate Senate standing committees in the formation of University policy is protested; and~~
2. That the Senate Committee on Research should be consulted at an early stage on all policy matters important to research and should be given the opportunity to provide recommendations and advice.

The Senate Committee on Research
October 30, 1989

Postponed December 15, 1989, to January 19, 1990, Senate meeting

Adopted, as amended, January 19, 1990

SPECIAL REPORT
OF
THE SENATE COMMITTEE ON RESEARCH

CONCERNING

"Strategies for Research: Toward Growth and Competitiveness"

by A. Coates and C. Lange

November 21, 1989

SUMMARY

The administration of George Washington University has recognized the benefits to the university of strengthening research activity. The Coates / Lange Report is a position paper which presents the administration's plans for laying the foundation for this objective in the coming years. It presents a three prong approach toward strengthening research: (1) The centerpiece of this plan is the concept of strategic targeting by the administration of the bulk of research support allocations towards a small number of excellent research programs; (2) A sum of \$100,000 is recommended to be set aside for new departmental programs and interdisciplinary programs; (3) Support for individual faculty should continue through the University Committee on Research.

The Senate Committee on Research was charged with providing advice and recommendations to the Senate on the policy as well as the process by which the policy was formulated. The committee met five times, including two open hearings, to deliberate on the matter.

An important conclusion of the committee is that there exists a great resource within the university that is presently largely dormant: the research potential of the faculty. However, there exists a multitude of disincentives which rob many faculty of their motivation to do research. An opportunity exists to tap this resource, but the key is an incentive-based research policy which motivates the faculty at large. The three-prong approach of the Coates/Lange report provides no such incentives, and, contrary to what is needed, actually has a demoralizing effect on many faculty.

A policy based on incentives must emanate from the hopes and aspirations of the faculty, and, therefore, must have substantial faculty involvement in its formulation. The policy of the Coates / Lange report had minimal faculty involvement in its formulation. The Senate Committee on Research was presented with the policy after it was approved by the President and budget allocations were made. Besides being in violation of the Faculty Code, such a process is not in the best interests of the University toward the growth of research.

This report describes in detail the findings of the committee, including major incentives and disincentives, and formulates eight conclusions and recommendations on the many aspects of research that were explored during the meetings and open hearings. As an outgrowth of these, three resolutions will be presented to the Faculty Senate for their consideration.

I. BACKGROUND

The Coates / Lange report was commissioned by Vice President for Academic Affairs R. French as a position paper in response to the stated clear indication of priority interest expressed by President Trachtenberg¹ to strengthen, significantly, the administration and promotion of sponsored research. The thesis of the report is that there exists an exceptional opportunity to create major research programs in selected disciplines and/or interdisciplinary fields and that substantial institutional financial resources should be committed toward these programs. Eight specific projects were targeted for increased support. In addition to the central thesis of the report, six institutional changes were proposed:

1. Establishing an Advisory Committee on Research.
2. Maintaining a reserve for providing matching funds for research equipment applications to outside sponsors.
3. Consideration of models for integrating faculty consulting into the educational activities of the university.
4. Soliciting funding for research from alumni and other organizations in coordination with the Development Office specifically for selected research programs.
5. Evolve procedures for hiring new faculty considering their ability to obtain sponsored research.
6. Review of administrative procedures with an eye towards reducing duplication of functions and promoting maximum efficiency and responsiveness.

When the report was transmitted to the Senate Executive and Research Committees on June 22, 1989 with Dr. French's cover letter (Att. 1), the committees were informed simultaneously that the President had already endorsed the report, that the Budget Advisory Team recommended funding for the program, and that measures were underway for its implementation. As faculty participation in the development of this policy appeared marginal, the Senate Research Committee was then charged by the Executive Committee to hold open hearings to gauge faculty sentiment towards the process employed and the policy that emerged from the report.

The Senate Research Committee held open hearings on September 19 and October 17, 1989. Attendance was good at both meetings with over 18 faculty attending the first and more than 26 attending the

¹See Attachment 1.

second. Vice President Coates and Deans East, Kenny, Jackson, and Liebowitz participated as well as several department chairs. Several faculty who were members of the research groups targeted for increased support were also present. Several faculty members who were unable to attend provided written comments which were distributed at the beginning of the meeting.

II. FINDINGS OF FACT

1. Faculty consultation was minimal. The Senate Research Committee was not consulted, nor were department chairmen in any systematic way. While the policy of targeted funding was discussed by the Council of Deans and underwent a vote and was affirmed, not all deans supported the policy.

2. The total income in 1988 from sponsored research was about \$33 million. None of this money was earmarked for supporting the sponsored research effort that generated the funds.

3. Indirect cost rate for sponsored research projects, presently 48% of direct costs, will be increased to 52%. In effect, the proposed program will be paid for by extracting part of the new funds generated by the increase. This view was supported by the Report of The Budget Advisory Team to the President, Ref. 1.

4. The targeted support program presented is a milestone in the sense that it represents the first time that George Washington University has a budgeted line item for the support of sponsored research.

5. A considerable amount of evidence was presented, consistent with Refs. 2 & 3, to indicate that the support² of faculty engaged in sponsored research at George Washington University is universally substandard in comparison with most other universities who are competing for the same sponsored funding. This substandard support has made funding more elusive, it has reduced morale among faculty active in sponsored research, it has destroyed incentives for many faculty who would otherwise be capable and enthusiastic about seeking sponsored research, and it has had a negative impact on retaining excellent research active faculty and hiring new faculty.

²The type of support for faculty engaged in sponsored research that is typical at universities competing for the same funding that our faculty is includes teaching loads not exceeding 12 credit hours / year; tuition remission for graduate research assistants, equipment and stipend matching funds; services such as machine shops, glass blowing, photography, drafting, supply rooms; legal protection; travel funds; etc.

III. TARGETING FUNDING POLICY

The general mood of the faculty was not enthusiastic, particularly among those faculty who are presently involved in sponsored research. The reasons for this lack of enthusiasm are many.

a. There is an enormous amount of pent-up dissatisfaction among the faculty active in sponsored research. The root of this dissatisfaction is that they perceive the university as regarding the fruits of their efforts as a revenue-generating "enterprise", rather than an essential educational activity worthy of nurturing and investment. With reference to Finding 2 above, they perceive the university as misappropriating funds that were given with the intent of supporting research. It appears not to be appreciated by the administration that successful participation in sponsored research requires a quantum jump in the level of effort of a faculty member, and help is very much needed. Targeted funding does not alleviate this need for the majority.

b. Not only does the targeted funding policy not help the majority, but it appears that the majority will be taxed to pay for this via the rising indirect cost rate, discussed in Finding 3³.

c. Several faculty spoke in favor of the need to generate incentives at the "grass-roots" level if sponsored research is to flourish. If strong incentives are in place, research will prosper. Examples were provided of other universities benefiting from this approach such as U.Mass at Amherst, Drexel, Va Polytech, and others. The targeted funding policy does nothing to generate such incentives.

d. Several faculty spoke about the unpredictability of the leading research groups of tomorrow. Examples were presented of how the Economics Department of M. I. T. and certain programs of the Naval Research Laboratory achieved international preeminence under conditions that could not have been predicted. If money had been diverted only to the most "promising" programs, these activities might never have developed.

e. Targeted support lacks flexibility. Funds allotted to the targeted groups are locked in for a minimum of three years, thus precluding other options, given limited funds.

f. The overall benefit of targeted funding to the university was questioned. Clearly the targeted groups will benefit and might be expected to show an increased number of journal publications and

³The decision to raise indirect cost rate was made without consultation with the Senate Committee on Research even though it has significant impact on research productivity.

an increased level of outside funding. However, there was skepticism about the existence of and / or benefits to be derived from the "halo" effect from the targeted groups.

g. Some faculty supported the idea of targeted projects when greater institutional support is needed to launch certain research activities. It was noted, however, that the eight groups targeted in the Coates/Lange Report are for the most part established and are not in this category.

h. There was substantial objection taken to the criteria for selecting the targeted groups. The groups were chosen from eighteen-month-old planning documents provided by the deans for other purposes. The deans were never asked to provide candidates in response to a call for projects under this program. The faculty was never given the opportunity to present proposals or compete for the funding and no faculty groups were consulted. Nobody questioned that the groups selected were worthy candidates. However, despite present conditions, there are many fine sponsored research programs at GWU of equal stature that were not considered. Objections were also made that there was no clear connection between the selected projects and teaching activities, need for the funding, potential pay-off in terms of future grants or some other reward, and other possible criteria. There was a feeling that criteria should have been established in consultation with faculty groups before anyone was targeted for increased funding.

IV. INSTITUTIONAL CHANGES

There was very strong support expressed for the need for increased use of indirect costs for supporting sponsored research and, specifically, for providing increased faculty incentives. Furthermore, there was a unanimous expression of support for increasing the commitment of university financial resources towards sponsored research, taken by vote at the first meeting. There was universal agreement that support for nonsponsored research should be continued through the University Facilitating Fund.

1. Establishment of an Advisory Committee on Research

There was general agreement that an advisory committee on research was important. Several faculty questioned why this function cannot be assumed by the University Committee on Research or the Senate Committee on Research. There was support for the idea that the Senate Committee on Research should have the charge of appointing at least half of the committee to insure faculty involvement in making research policy.

2. Matching Funds for Equipment Purchase

Very strong support.

3. Integrated Consulting

There was no appreciable discussion. This should be carefully studied by faculty groups when specific proposals are presented.

4. Coordinated Efforts between OSR & Development

There was universal agreement that this would benefit research.

5. Faculty selection procedures based on research development.

There was little discussion. However, such procedures are inappropriate unless adequate support for research exists.

6. Streamlining Research Administration

There was strong support.

V. CONCLUSIONS & RECOMMENDATIONS

1. There is strong faculty support for the increased allocations of financial resources towards research. Increased expenditures are essential if research is to flourish at George Washington University.
2. An exceptional opportunity does exist at George Washington University to substantially increase the level of faculty participation in sponsored research. However, in order to unleash this resource, incentives are needed, and disincentives must be eliminated.
3. The Senate Committee on Research was never consulted in the process of developing the policy outlined in the report "Strategies for Research". Therefore, the right of the faculty to participate in academic decision-making through its senate committee structure was disregarded, in violation of the Faculty Code. Such practices should be avoided in the future.
4. Among the faculty participating in sponsored research or those who would like to, there exists a high degree of dissatisfaction. The primary cause of this dissatisfaction is the overwhelming difficulty of providing excellent teaching

in three courses while performing the laborious duties required to maintain a sponsored research program. The second major cause of dissatisfaction is the lack of incentives and recognition accorded by the university to those who do. The highest priority in dedicating university resources towards enhancing sponsored research should be to reduce the teaching responsibilities of faculty active in sponsored research to the level common at other institutions with distinguished research programs.

5. The administration should develop a hierarchy of priorities for the allocation of university resources towards strengthening research. The fundamental principle in establishing the hierarchy of priorities is the need for incentives for the faculty at large.
- 5a. Targeted funding may be appropriate in developing certain areas of research, but should not be the centerpiece for research policy.
6. The criteria employed in selecting the targeted projects was never clearly understood by the faculty. Before any future allotments are made, clear criteria must be identified and presented to the faculty for their recommendations and advice.
7. In view of the existing university committee structure, the need for yet another committee, i.e., Research Advisory Committee, is not clear. However, should the administration choose to form such a committee, a majority of faculty participation is recommended with appointments made by the faculty senate. Furthermore, such an administrative committee would not abrogate the administration's responsibility to consult with the Senate Committee on Research and other appropriate senate committees on matters affecting the faculty.
8. There is a great need within the university for a comprehensive plan for creating a structure of support and incentives for participation in research and for prioritizing the use of university resources for research toward this end. An appropriate committee should be charged with formulating such a plan.

VI. REFERENCES

1. Chernak, R. A.: "The George Washington University Budget Advisory Team Report to the President", Fiscal Year 1990-91.
2. Coates, A: "A Private University with a Public Mandate: A Self Study Report for the Middlestates Association of Colleges and Schools", The George Washington University, 1987.
3. Solomon, H: "Obstacles to Research", University Committee on Research Report, 1985.

The Senate Committee on Research

Charles A. Garris, CMEE, Chairman
 William C. Adams, Public Administration
 Jeffery C. Anderson, Art
 Frank E. Baginski, Mathematics
 Linda J. Brandt, Psychology
 Ernest J. Englander, Business Administration
 Bruce M. Kramer, Mechanical Engineering
 Donald C. Linkowski, Human Services
 Murray H. Loew, Electrical Engineering
 Terrence Phillips, Medicine
 Marcelo Sztein, Medicine

ex officio:

Roderick S. French, Vice President for Academic Affairs
 Anthony G. Coates, Associate Vice President for Academic
 Affairs and Research
 Henry Solomon, Dean of the Graduate School of Arts and
 Sciences

ATTACHMENT # 1

THE GEORGE WASHINGTON UNIVERSITY
INTERDEPARTMENTAL MEMORANDUM

June 22, 1989

TO: William B. Griffith, Chair
Faculty Senate Executive Committee

Charles Garris, Chair
Faculty Senate Committee on Research

FROM: Roderick S. French
Vice President for Academic Affairs

RE: "Strategies for Research: Toward Growth and Competitiveness"

I am pleased to forward to you and through you to the members of your respective committees copies of "Strategies for Research: Toward Growth and Competitiveness."

As you well know, the formation of great research universities was one of the major achievements of American higher education in the first half of the twentieth century. For all of their recent difficulties in terms of funding and deteriorating infrastructures, they remain the envy of the world.

Although the George Washington University has been classified by the Carnegie Commission as a Research University II since 1973, our most distinguished graduate programs for the most part have been in professional education and fields of applied research. Our curricula and our research have been designed to serve the educational needs of the federal city. The overwhelming majority of our doctoral students have pursued their degrees on a part-time basis. Perhaps the most vital academic development on this campus over the last thirty years has been the emergence of a wide range of innovative master's curricula tailored to the interdisciplinary educational requirements of the so-called new professions. All of these activities constitute a splendid achievement and one in which we should take due pride, but they are not for the most part research oriented in the usual sense.

Nonetheless, over the last decade, there has been a growing consensus among many faculty and administrators, that GW--without diminishing its commitment to our traditional mission described above--can proceed to identify selected fields for greater institutional support to enable them to move into the first tier of university research programs. This consensus has been trying to find its voice through a series of documents that has included the Year 2000 Report and more recently one chapter in our Middle States self-study.

Those who support this strategy are persuaded that there will be multiple benefits to the University from such a targeted investment. It is self-evident that the morale and self-respect of all research-oriented faculty will be improved by the sign of serious institutional commitment to

Griffith-Garris "Strategies for Research"

June 22, 1989

Page Two

this enterprise. Many believe that the reputation of all of our academic programs will be enhanced by a halo effect from nationally recognized research achievements. If true, that cannot fail to be an asset even in undergraduate recruitment. In terms of faculty recruitment, certainly promising younger faculty would be reinforced in their decision to accept appointments with us. We also would become more competitive in the recruitment of outstanding graduate students to work with faculty in these priority fields. The budget of the University would be strengthened by increases in both direct cost and indirect cost funding.

In some of my first conversations with Stephen Trachtenberg, in the spring of 1988 before he had actually assumed the presidency here, it became clear that he wished to strengthen, significantly, the administration and promotion of sponsored research. On the basis of that clear indication of priority interest, I asked Dr. Carl Lange and Dr. Tony Coates to prepare a position paper for his consideration. This report went through an extended period of preparation which I would like to summarize for you.

Drs. Lange and Coates began with an examination of the previous cycle of University planning documents in which certain areas of research strength had been identified by the Deans. They proceeded to convene groups of principal investigators associated with those fields as well as to consult with individual researchers in many disciplines. The objective in this process was to identify a selected number of fields which were positioned to move forward with enhanced support over a specific time period.

This process was taking place at the same time that the new Presidential Budget Advisory Team was at work on a statement of assumptions and recommendations regarding the 1990-91 University budget. In the discussions of the BAT, I consistently argued for the necessity of choosing to choose, i.e., selectively identifying those academic areas in which we are going to strive in the near future for conspicuous excellence at GW whether in teaching or research.

The report on "Strategies for Research" in the form that I am transmitting to you (dated May 4, 1989) has gone through several versions. It appeared twice on the agenda of the Council of Deans and was finally modified in response to changes requested by President Trachtenberg as a condition for his approval.

One word of caution. It is always risky to put in circulation a planning document that contains specific dollar figures. Please remember that these numbers were developed for planning purposes only. Although the administration is committed to the general implementation of this report, actual resource allocations will depend on many factors and undoubtedly will be different from the figures given.

Let me illustrate this dynamic in terms of developments in just the last few weeks. After reviewing all of the strong claims on future resources, the BAT decided to recommend an allocation of \$500,000 in support of this strategic enhancement of research in 1991. Although that was less than the figure proposed in this report, the BAT also recommended that the \$50,000 for equipment matching grants which President Trachtenberg has authorized as a new line in the 1989-90 budget be tripled to \$150,000 in 1990-91. Moreover, in light of a signal from the President that there will be supplemental funds on the academic side next year, I already have authorized Dean Solomon to proceed with the recruitment of a senior geneticist. At the same time, the Department of Statistics has been successful in hiring a distinguished biostatistician as called for in this report. Finally, a corporate foundation has made a gift of some \$60,000 to support graduate students and post-doctoral fellows in the Institute for Reliability and Risk Analysis. All of this is by way of saying that this program of focused research development is well under way, but the precise shape of that development will inevitably vary in some details from the plan as outlined.

I should point out one particularly innovative feature in this document. In addition to the eight well-established fields identified for enhanced support, there is a proposal to explore the formation of a unit in SGBA that would be analogous to the practice plan used in the medical faculty. The concept is of a scheme that would encourage the formation of a center for the study of international financial markets that would bring through the University much of the bona fide research and consulting currently conducted off-campus by that faculty. It will be very interesting to see whether such a concept can be translated into practice.

I would like to close with two observations derived from the experience of developing this policy statement.

(1) No one with whom I have talked whether individually or in groups, whether faculty or deans or other administrators, has quarreled with the proposition that we must go forward selectively, if we are to realize our goals of excellence in teaching and research. The only complaint has been that the list of initially targeted programs was not longer. That, by the nature of the case, is not possible. However, the major modification in the original version of this policy made at President Trachtenberg's request is that approximately \$100,000 will be set aside each year for potential support of other research fields that show promise of developing to the point that they would qualify for inclusion on the priority list for enhanced funding in the next three-year cycle of development.

(2) No one has challenged the eligibility or qualifications of those fields that have been included in the priority list for the first three-year cycle of support. I think this is a good reminder of the importance in general that as we proceed with the strategy of selected, phased emphases in academic program development we must make our decisions openly and on the

Griffith-Garris "Strategies for Research"
June 22, 1989
Page Four

basis of clearly stated criteria after consultation with as many colleagues as is feasible.

I trust that on reading this report you and your associates will share my sense of gratitude on several counts. I am grateful to Carl Lange and Tony Coates for giving coherence and focus to the campus-wide longing for advancement of our research enterprise, to the Budget Advisory Team for recommending a high level of financial support for research development, and to President Trachtenberg for his endorsement of this strategy. The net result is a truly unprecedented level of systematic incentives for research at GW which goes hand-in-hand with the President's emphasis on excellence in teaching.

When the fall semester opens, then Associate Vice President Coates and I will take steps to establish the Advisory Committee for Research called for by this report. I am certain that at that point there will be many interesting points for discussion between the Faculty Senate Committee on Research and this new Advisory Committee that will be set up to oversee the implementation of this new strategy and to promote research generally.

RSF:eic

cc: President Trachtenberg
Vice President Lange
Assistant Vice President Coates
Council of Deans

A RESOLUTION FOR RENEWAL OF COMMITMENT AGAINST BIGOTRY AND
INTOLERANCE (89/10)

WHEREAS, Many campuses across the nation are increasingly plagued by incidents of racial, religious, and cultural bigotry and intolerance; and

WHEREAS, It is in our best interests as faculty, students, and staff of this University to recognize our duty to create a community in which bigotry and intolerance will not grow or find expression; and

WHEREAS, The career of the late Reverend Doctor Martin Luther King, Jr. is exemplary of the peace and non-violence in which the struggle against bigotry and intolerance must take place; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

That, on the occasion of the University's annual observance of Dr. Martin Luther King's birthday, our commitment be renewed to create and preserve an environment in which respect for human rights is fundamental, and to express abhorrence of attitudes and actions which deny such respect.

Joint Committee of Faculty and Students
December 1, 1989

Adopted December 15, 1989

A RESOLUTION CONCERNING PART-TIME FACULTY SALARIES (89/11)

WHEREAS, The University community has consistently endorsed a commitment to achieving the highest level of academic excellence and the University administration has begun to demonstrate part of that commitment by taking steps to improve full-time faculty salaries; and

WHEREAS, The George Washington University depends significantly upon its part-time faculty members and thus recognizes that sustaining their pedagogical excellence through the selection process is essential to the accomplishments of stated institutional goals, and that non-competitive salaries inhibit if not prevent appointment and retention of the highest quality of part-time faculty; and

WHEREAS, Current salary levels of part-time faculty are substantially lower than those of competitive area universities as well as norms elsewhere, and there is no evidence that steps have been taken to improve part-time faculty salaries in an expeditious manner nor that the necessary budgetary increases have been made available to deans, department chairs, and program directors; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

(underlining indicates amendments)

That the Faculty Senate recommends that the following minimum salaries, by rank, for part-time faculty be adopted and implemented by Fall 1990:

Lecturer	\$2,000 (per 3 credit hour course)
Assistant Professorial Lecturer	\$2,500 (per 3 <u>credit hour</u> course)
Associate Professorial Lecturer	\$3,000 (per 3 <u>credit hour</u> course)
Professorial Lecturer	\$3,500 (per 3 <u>credit hour</u> course)

BE IT FURTHER RESOLVED

That budgetary provisions be made for appropriate annual increases for part-time faculty ~~paralleling those of full-time faculty.~~

Committee on Administrative Matters as They Affect the Faculty
Committee on Appointment, Salary and Promotion Policies (including Fringe Benefits)

February 12, 1990

Adopted, as amended, March 9, 1990

Substitute Resolution To Be Offered At The April 13, 1990 Faculty Senate Meeting.

A RESOLUTION TO CREATE A SENATE SPECIAL COMMITTEE

ON THE NORTHERN VIRGINIA CAMPUS (89/12)

- WHEREAS, The George Washington University's Northern Virginia Campus has moved beyond the preliminary development stage and is now within six months of the targeted first operational phase; and
- WHEREAS, the new Campus has important implications for every aspect of the University's activities; and
- WHEREAS, the Northern Virginia Campus clearly offers the University an exciting potential for developing programs of national recognition which may benefit the University academically and financially; and
- WHEREAS, despite the substantial commitment of the University to the new Campus, the availability of academic and financial planning information is presently inadequate for informed evaluation of progress, NOW THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

That development of the Northern Virginia Campus should be consistent with the following objectives:

- (a) the Northern Virginia project should be consistent with the ten "Critical Success Factors" identified by the basic planning document, the "Report on Strategic Planning for the Northern Virginia Campus," otherwise known as the Saar Report;
- (b) the Northern Virginia Campus should be a separate responsibility center, with accounting conventions adopted to insure its fiscal independence;
- (c) the Northern Virginia Campus should provide quality academic programs comparable to those on the Foggy Bottom Campus;
- (d) the Northern Virginia Campus should involve faculty on a voluntary basis, for both teaching and research activities;
- (e) the Northern Virginia Campus should neither subsidize nor be subsidized by the Foggy Bottom Campus; and
- (f) the new buildings for the Northern Virginia Campus should be designed in accordance with user needs, as defined by the participating schools.

BE IT FURTHER RESOLVED

- (1) That a new Special Committee on the Northern Virginia Campus be established to report to the Faculty Senate and to offer resolutions on the progress on the project in achieving the objectives stated above; and
- (2) That the new Committee be composed of one faculty member from each of the Schools of the University, ~~excluding individual faculty engaged in the University planning process for the Northern Virginia Campus~~; and
- (3) That the Committee faculty members be nominated ^{by the Executive Committee} ~~for election~~ by the Senate ~~Executive Committee~~, and that these nominations include at least one current member of the Senate; and
- (4) That the Associate Vice President for External Affairs be included as an ex officio member of the Committee; and
- (5) That the new Committee present ^{interim reports as appropriate and} a final report on its activities to the Faculty Senate at the conclusion of the Fall 1991 semester, at which time the Senate shall be asked to consider whether or not to continue the Committee.

Raymond R. Fox, Charles A. Garriss, and Anthony M. Yezer, Members, Special Committee on Northern Virginia Planning, April 12, 1990

CRITICAL SUCCESS FACTORS (Page 21, Saar Report, July 2, 1989)

1. Strong support by the business community
2. An organizational structure that will promote entrepreneurial spirit, autonomy, and a linkage to the downtown campus.
3. Strong cooperation between the participating colleges a must.
4. Research and teaching programs should respond to the market needs.
5. The marketing strategies must promote the uniqueness of the campus and its impact on research and development.
6. Faculty interest and willingness to participate.
7. Up-to-date technology and state of the art facilities.
8. Appropriate funding to support the mission.
9. Constant support by University leadership.
10. Strong demand by students for degree and non-degree programs.

Adopted, as amended, April 13, 1990

A RESOLUTION TO CREATE A SENATE SPECIAL COMMITTEE

ON THE NORTHERN VIRGINIA CAMPUS (89/12)

see substitute

- WHEREAS, The George Washington University's Northern Virginia Campus has moved beyond the preliminary development stage and is now within six months of the targeted first operational phase; and
- WHEREAS, the new Campus has important implications for every aspect of the University's activities; and
- WHEREAS, the Northern Virginia Campus clearly offers the University an exciting potential for developing programs of national recognition which may benefit the University academically and financially; and
- WHEREAS, despite the substantial commitment of the University to the new Campus, the availability of financial and academic planning information is presently inadequate for informed evaluation of progress; NOW, THEREFORE,

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

- (1) That a new Special Committee on the Northern Virginia Campus be established to report to the Faculty Senate and to offer resolutions on the progress of the project; the format of these reports and resolutions should address the following principles:
 - (a) the Northern Virginia project should be consistent with the ten "Critical Success Factors" identified by the basic planning document, the "Report on Strategic Planning for the Northern Virginia Campus," otherwise known as the Saar Report;
 - (b) the Northern Virginia Campus should be a separate responsibility center, with accounting conventions to insure its integrity;
 - (c) the Northern Virginia Campus should provide quality academic programs comparable to those on the Foggy Bottom Campus;
 - (d) the Northern Virginia Campus should involve faculty on a voluntary basis, for both teaching and research activities;
 - (e) the Northern Virginia Campus should neither subsidize nor be subsidized by the Foggy Bottom Campus; and
 - (f) the new buildings for the Northern Virginia Campus should be designed in accordance with user needs, as defined by the participating schools.

- (2) That the new Committee be composed of one faculty member from each of the Schools of the University, excluding individual faculty engaged in the University planning process for the Northern Virginia Campus; and
- (3) That the Committee faculty members be nominated for election by the Senate Executive Committee, and that these nominations include at least one current member of the Senate; and
- (4) That the Associate Vice President for External Affairs be included as an ex officio member of the Committee; and
- (5) That the new Committee present a final report on its activities to the Faculty Senate at the conclusion of the Fall 1991 semester, at which time the Senate shall be asked to consider whether or not to continue the Committee.

Special Committee on Northern Virginia Planning
April 3, 1990

A RESOLUTION ON RECRUITMENT AND APPOINTMENT REPORTING (89/13)

WHEREAS, The University is an affirmative action/equal opportunity institution; and

WHEREAS, The University's commitment to affirmative action/equal opportunity in the recruitment and appointment of faculty has been demonstrated through implementation of recruitment goals and plans in individual schools and annual reporting by the Deans on recruitment and hiring of minorities and women; and

WHEREAS, The members of the faculty, who share in the responsibility of achieving stated University goals, cannot assist in achieving the latter without adequate information; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

That recruitment reports currently being submitted by Deans to the Vice President for Academic Affairs be consolidated into a single report analyzing current recruitment practices with regard to University goals and recommendations for future recruitment practices; and

BE IT FURTHER RESOLVED

That this report be presented to the Faculty Senate by the Vice President for Academic Affairs with his evaluations and that it be established as an annual Fall semester agenda item for the Faculty Senate.

Committee on Administrative Matters as They Affect the Faculty
March 21, 1990

Adopted, April 13, 1990

A RESOLUTION TO RECOMMEND RENAMING THE FACULTY SENATE COMMITTEE ON
UNIVERSITY DEVELOPMENT AND RESOURCES (89/14)

WHEREAS, the current name of the Committee implies its involvement in a broad range of activities many of which overlap with the scope of other Senate committees; and

WHEREAS, the effective functioning of the Committee can be ensured by concentration on more specific topics; and

WHEREAS, the current structure of Senate committees does not incorporate a committee dealing with faculty development issues; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

That the Senate recommends that the Faculty Assembly amend the Bylaws of the Faculty Senate, Sec. 10, Faculty Organization Plan, to change the name of the Standing Committee on "University Development and Resources" to "Committee on Faculty Development^{and} Support" as the function of this Committee should be focused on enhancements in professional, social, and cultural issues of faculty life.

Committee on University Development and Resources
March 9, 1990

Adopted, as amended, 4/13/90

A RESOLUTION TO PROTECT THE PRESENT EDUCATIONAL BENEFITS OF CURRENT
FACULTY AND STAFF EMPLOYEES (89/15)

WHEREAS, there exists a well-established tradition in American higher education of university employment benefits calculated to serve the career development of faculty and staff, and to serve the needs of faculty and staff spouses and dependents; and

WHEREAS, this tradition has been firmly established at The George Washington University for many years; and

WHEREAS, the University has created reasonable expectations in faculty and staff of the delivery of these promised benefits at such future time as they may be needed by the University's annual reiteration of these benefits in the Faculty Handbook and personnel publications and by unvarying individual assurances; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

That, if the University reduces its educational benefits plan, the Faculty Senate of The George Washington University endorses the recommendation of the Benefits Review Committee that present faculty and Staff be "grandfathered" to preserve all of the educational benefits currently provided them, their spouses and their legal dependents, including the application of such benefits to non-medical graduate education.

Committee on Appointment, Salary and Promotion Policies
(including Fringe Benefits)
April 9, 1990

Adopted, April 13, 1990

A RESOLUTION CONCERNING FACULTY SUPPORT FOR THE TUITION WAIVER
EDUCATIONAL BENEFITS (89/16)

WHEREAS, the Faculty Senate recognizes that the educational benefits enrollment of faculty, staff, spouses and dependents on a tuition waiver basis imposes some teaching and counseling burdens upon the faculty, some overhead costs on the University, and a limited additional burden upon physical facilities; and

WHEREAS, the Faculty Senate wishes to express the general faculty sentiment that, for its part, these additional costs are readily accepted as a collegial service to members of the University community; and

WHEREAS, it believes that such enrollments should not "crowd out" the planned enrollment of fee-paying students except in extraordinary circumstances; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

That the Faculty Senate endorses the policy of enrolling educational benefits students over and above programmatic enrollment limits set for fee-paying students, and accepts the faculty responsibility for teaching and advising these students as a voluntary overload.

Committee on Appointment, Salary and Promotion Policies
(including Fringe Benefits)
April 9, 1990

Adopted, April 13, 1990

A RESOLUTION CONCERNING FACULTY OPPOSITION TO GRADUATED DEPENDENTS'
TUITION WAIVER BENEFITS FOR FUTURE FACULTY AND STAFF (89/17)

WHEREAS, there exists a well-established tradition in American higher education of university employment benefits calculated to serve the career development of faculty and staff, and to serve the needs of faculty and staff spouses and dependents; and

WHEREAS, the Faculty Senate believes that tuition benefits for dependents should accrue to faculty immediately upon employment and to staff upon satisfaction of the probationary period; and

WHEREAS, it believes that a reduction of the dependents' tuition benefits to 50% of tuition in the first year, with increasing increments thereafter, will make it difficult for some faculty and staff to take advantage of the benefit at all; and

WHEREAS, the present educational benefits package is a valuable incentive in the recruitment of highly-qualified faculty and staff; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

That the Faculty Senate asks the University to reject the Fringe Benefits Committee recommendation that the educational benefits for dependents should accrue on a graduated basis; and that the Faculty Senate recommends instead that the present educational benefits for non-spouse dependents be continued for all faculty and staff.

Committee on Appointment, Salary and Promotion Policies
(including Fringe Benefits)
April 9, 1990

Adopted, April 13, 1990

A RESOLUTION OF COMMENDATION FOR THE FRINGE BENEFITS COMMITTEE AND
AN OFFER OF GREATER FACULTY ASSISTANCE IN THE COMMITTEE'S WORK (89/18)

WHEREAS, the Faculty Senate recognizes the need to a periodic review of the mix of employee benefits provided by the University, as well as the need for the periodic reapportionment of benefits to address new needs and opportunities; and

WHEREAS, the Faculty Senate wishes to recognize the substantial contribution of time and thought of the Fringe Benefits Committee members, and would like to offer additional faculty expertise and counsel to assist in this undertaking; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

That the Faculty Senate commends Vice President Walter M. Bortz, Director of Personnel James E. Clifford, and the members of the Fringe Benefits Committee for their conscientious attention to the review of University employee benefits, and urges the President to enlarge the Committee's membership in order to add the expertise and counsel of a larger number of faculty members.

Committee on Appointment, Salary and Promotion Policies
(including Fringe Benefits)
April 9, 1990

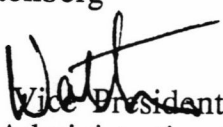
Adopted, April 13, 1990



OFFICE OF THE VICE PRESIDENT
FOR INFORMATION AND ADMINISTRATIVE SERVICES

April 6, 1990

TO: Stephen J. Trachtenberg
President

FROM: Walter M. Bortz,  Vice President for
Information and Administrative Services

SUBJ: The Educational Benefit

The Benefits Review Committee has completed its review of the George Washington University Educational Benefit for faculty and staff. Attached is a report outlining their deliberations and recommendations.

To summarize the recommendations:

1. A waiting period has been recommended that corresponds to our present probationary period for new employees.
2. The spouse benefit increases from 50% to 75% of applicable tuition after an employees fifth year of employment.
3. Dependents are eligible for 50% of applicable tuition in the first year of an employees eligibility for the benefit. The benefit increases at 10% per year to a ceiling of 90% in the fifth year and thereafter.
4. Non-credit courses are limited to a 75% tuition benefit.
5. All current employees are to be "grandfathered" under the present Educational Benefit program. These changes and the new program will be applicable to employees hired after September 1, 1990.

The Committee awaits your decision to implement or consider additional changes and/or review.

cc: Jim Clifford, Chairman, Benefits Review Committee
Arthur Kirsch, Chair, Faculty Senate Committee on
Appointment, Salary, and Promotion Policies

**THE GEORGE WASHINGTON UNIVERSITY
BENEFITS REVIEW COMMITTEE REPORT
EDUCATIONAL BENEFITS**

GENERAL INFORMATION

At The George Washington University, educational benefits for certain classifications of employees, spouses, or dependents were unofficially in place for many years. The official policy was formalized in 1964. Changed and expanded over the years, the current policy was created in 1977 with several modifications implemented in recent years to include regular part-time employees and to expand the benefits for eligible dependent children pursuing a graduate program.

The University has had a great deal of experience with this educational benefit. The data suggest that employees are taking advantage of the benefit. The benefit, however, has become more and more valuable in recent years as our classrooms have become more crowded in certain disciplines, and the price of tuition has increased.

Employees, dependents, and spouses used 17,777 semester hours of instruction for credit with a value at current prices of \$403 per credit hour of \$7,164,131 during 1989. The total salary and benefit package of the University is \$270,000,000, of which \$220,000,000 is salary and \$50,000,000 is in benefits. The educational benefit used by the employees, dependents and spouses represents 14.3% of the total benefits.

Approximately 220 dependents, 1,200 employees and 70 spouses use the educational benefit. Of the dollar amount attributed to the educational benefit at the rate of \$403 per semester hour, 64% is consumed by employees, 33% by dependents, and 3.0% by spouses.

Unlike any other benefit at the University, the educational benefit, especially for dependents and spouses, must be awarded after an application process and a decision to accept or deny access. It is estimated that ten to fifteen percent of faculty and staff dependents seeking admission to the University are "counseled" to attend other institutions or denied admission.

Much of the discussion in the Benefits Review Committee about the Educational Benefit centered on a perception that within the University community, the educational benefit, as currently structured, is necessary to compensate for the lower salaries that are offered by the University.

Our salary ranges and levels are competitive in the metropolitan area. We conduct and participate in numerous salary surveys on a scheduled basis and, when we discover that our salaries are not competitive, we change them. There is a continuous review and adjustment of salary grades to keep them reflective of market changes, particularly in those positions where the labor supply is tight. Although we can find individual salaries that appear either low or high, our overall salary range and average

salaries are competitive with those of other employers in the metropolitan area. The employers include, but are not limited to, higher education institutions.

None-the-less, the educational benefit is considered to be an important and necessary part of the total compensation package of The George Washington University.

The Benefits Review Committee has undertaken a comprehensive review of the educational benefit program currently available to faculty and staff. The study includes educational benefit program data from the market basket universities (those institutions identified by the ASPP Committee of the Faculty Senate). Careful analysis was made of these data to determine our competitive position. Attached to this document is the survey information for review.

In studying the educational benefit, the committee has had spirited debate on a variety of issues. There was no consensus on each and every aspect of this benefit. While there were differences of opinion, the majority favored the following points:

GRANDFATHERING

All regular part-time and full-time faculty and staff hired prior to September 1, 1990 will be "grandfathered" under the current tuition policy. Benefits outlined in this recommendation will apply to faculty and staff hired after August 31, 1990.

RECOMMENDATIONS

WAITING PERIOD

Employee

All new employees will be eligible for the benefit after satisfactory completion of the employee's probationary period. New faculty, tenured, tenure track and non-tenured, are not subject to probationary employment and are eligible for the educational benefits upon beginning their employment.

The employee benefit is 100% of applicable tuition for eligible degree programs.

Dependent Children and Spouse of Faculty and Staff

The dependent child and spouse of an employee are eligible for tuition benefits immediately upon the employee completing the probationary period.

The tuition benefit is:

Spouse -	50% of applicable tuition during employee's first five years of employment and 75% thereafter.
Dependents -	50% of applicable tuition during employee's first year of employment, 60% during second year, 70% during third year, 80% during fourth year and 90% thereafter.

BENEFITS

Faculty/Staff Member

Tuition benefits are not applicable to course work in The George Washington University Medical School.

Non-Credit Courses - The tuition benefit will not exceed 75% of each course per semester for all non-credit courses taken under the Tuition Remission Program. The benefit will be 75% of a dollar limit equal to the cost of the course, or three times the cost of a credit hour at the Columbian College, whichever is less. The benefit may be increased to 100% if the non-credit course is job related and approved by the supervisor and appropriate unit manager.

Dependent Children of Faculty/Staff Member

The term "dependent child" means the natural, adopted, or step-child of an employee (current or deceased), or a child for whom the employee is legal guardian. The child must be legally dependent and proof of dependency (over 50% of the dependent's support) must be available. The dependent must be admitted to and making satisfactory academic progress in a degree program.

Graduate or Professional Degree Program (excluding the Medical School)

Dependent children of eligible faculty and staff are entitled to tuition benefits unused for undergraduate study, provided that the faculty or staff member was in a regular full-time status during the period the dependent attended another school in the pursuit or reward of an undergraduate degree and the dependent begins the graduate degree program within five years of the award of the baccalaureate degree. The eligible student shall be entitled to apply any unused benefit to other degree work excluding The Medical School. The total benefit may not exceed the equivalent of eight semesters of full-time graduate study. The tuition remission will be a percentage of a rate equal to the lowest credit hour for courses enrolled in or a percentage of the tuition rate for Columbian College, whichever is less.

All other portions of the educational benefit now in place are recommended for continuation. In addition, the Committee recommends that full time staff and faculty be given the opportunity to petition their supervisor, department chair, and dean in presenting to their Vice President and the Compensation Policy Committee (CPC) reasons for waiving the limitation on the number of courses a full time employee may take in any given term.